Electronic Subcontracting Reporting System (eSRS)
Part II
September 2013
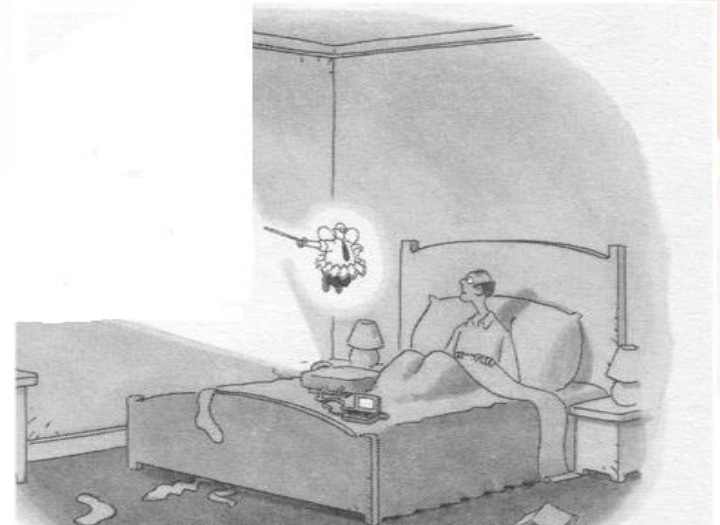
Agenda

Part I

- ✓ **Regulations**
- ✓ **Overview**
- ✓ **Reports in eSRS**

Part II

- ✓ **Guidance for Reviewing Reports in eSRS**
- ✓ **Resources**

Guidance for Reviewing Individual Subcontract Report (ISR)

Reviewing ISRs

➢ Dollars represent all subcontracting from inception of contract to reporting date

➢ May show negative $

➢ ISR contains data fields, some input by contractor; others "pulled" from sources outside contractor's control

➢ The awarding contracting office (not administering contracting office) has the responsibility to acknowledge receipt of or reject the prime contractor's ISR

Reviewing ISRs

➢ Contracting officials registered at the contracting office level will see all ISRs for that office; if registered at the agency level, then contracting officials will see all ISRs for the agency

➢ When rejecting an ISR, always provide explanation and clear guidance so contractor knows what to do

Reviewing ISRs

➢ When rejecting a previously accepted ISR, consider informing the person who accepted the report that you are rejecting the report and your reason (so as to ensure reporting accuracy across DoD)

➢ Contractor can make changes or corrections to previously submitted reports when reviewer either "Reopens" or "Rejects" the report

Reviewing ISRs

- Prime contractor should have no pending lower-tier ISRs

- If contractor has pending lower-tier reports, notify contractor that his lower-tier ISRs require action

  NOTE: Contractor may not be aware of pending lower-tier ISRs if they were submitted to incorrect e-mail addresses; provide contractor e-mail to which lower-tier contractor submitted ISR

Reviewing ISRs

- The following slides include a "step-by-step" review of the ISR

- The sections refer to and correspond with the sections of the ISR

- Each section also includes a description of the data

- Comments provide guidance for the person reviewing the ISR

- "NAR" means No Action Required

Item	Section	Description	Comment
A	Contractor Info	Pulled from Federal Procurement Data System (FPDS)	If incorrect: • Check Contract Action Report (CAR) in FPDS • Use agency process to correct in FPDS
B	Contract Info	Pulled from FPDS if available: • Agency Awarding Contract • Contracting Office Agency ID • Contracting Office Agency Name • Contracting Office ID • Contracting Office Name • Funding Agency ID • Funding Office ID • Prime Contract Number • Product or Service Code • Dollars obligated • Current Contract Value • Ultimate Contract Value	If incorrect: • Check CAR in FPDS • Use agency process to correct FPDS • If eSRS pulling incorrect information from FPDS, inform eSRS Help Desk NOTE: Dollars and values on Indefinite Delivery/ Indefinite Quantity (IDIQ) contracts are often incorrect due to data in FPDS

Item	Section	Description	Comment
C	Contract Admin Office	Contractor is asked if contract is administered by office other than the Contracting Office that awarded the contract; if contractor selects "yes", he must select Administering Office; options include "DCMA", "ONR" and "Other;" if "Other" is selected, contractors can choose from the DoD hierarchy with department or agency, and their organizations	If Administering Office is incorrect: ☞ REJECT ISR; provide explanation so that contractor knows what to do
		NOTE: DoD is experiencing problems with eSRS when the awarding and administering offices are different; DoD is addressing with GSA	
D	Contact Info	Automatically populated based on registration information	No Action Required (NAR)

Item	Section	Description	Comment
E	Reporting Period from Inception of Contract Thru	Contractor selects Mar 31 or Sep 30 and the Year from drop-down menu	If incorrect: ✋ REJECT ISR; provide explanation so that contractor knows what to do
F	Report Submitted As	Contractor selects "Prime Contractor" or "Subcontractor"	Note: • Government reviews prime contractors' ISRs • Upper-tier contractor reviews its lower-tier contractors' ISRs

Item	Section	Description	Comment
G	Type of Report	Contractor selects "Regular" or "Final"	If incorrect: ✋ REJECT ISR; provide explanation so that contractor knows what to do
H	Subcontract Awards	Contractor indicates if Indirect Subcontracting Dollars are or are not included	If not the same as in the Individual Subcontracting Plan: ✋ REJECT ISR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
H	Subcontract Awards	**Current Goals** • Dollars and percentages input by contractor • System does not calculate percent • System only validates that the dollars for any socioeconomic category cannot be greater than dollars for small business [Line item 1(a)]	If not the same as in the Individual Subcontracting Plan: ✋ **REJECT** ISR; provide explanation so that contractor knows what to do NOTE: There are no goals for large business, ANC, or Indian Tribes

Item	Section	Description	Comment
H	(Subcontract Awards)	**Actual Cumulative** • Dollars input by contractor • System calculates percentages based on total dollars [Line Item 1(c)] • System validates that the dollars for any socioeconomic category cannot be greater than the dollars for small business [Line Item 1(a)]	• Dollars in each subsequent report should be equal to or greater than previous report **IF NOT, WHY NOT?** Discuss with contractor **NOTE:** • Not meeting goals is not a reason to reject ISR • Contractor may input a negative number • Percentages are not based on the total dollars in 1(c) under "Current Goal" section

Item	Section	Description	Comment
I	Which method do you use to collect subcontracting data for this report?	Contractor selects one of three options: • "award" • "invoiced" • "other" (text field)	• Contractor should be consistent with whichever option he selects; IF NOT, WHY NOT? Discuss with contractor
J	Certification	• Contractor certifies data is accurate • Dollars and percent do not include lower-tier subcontracts, except as set forth for ANC and Indian Tribes	If contractor does not certify: ✋ REJECT ISR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
K	Remarks	If contractor entered zero in any small business category or failed to meet the dollar or percent goals in the Individual Subcontract Plan, the contractor should use this section to explain why, and provide future plan of action or comments which would be helpful to the person reviewing report	If comment not provided for each category where contractor entered zero or did not meet goal: ☝ REJECT ISR; provide explanation so that contractor knows what to do NOTE: There are no goals for large business, ANC, or Indian Tribes

Item	Section	Description	Comment
L	Contractor's Subcontracting Plan Administrator	Contractor inputs name and contact information of company employee who is responsible for managing the company's small business program and its subcontracting plans; most likely this is the company's Small Business Liaison Officer (SBLO)	If contractor does not provide: ✋ REJECT ISR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
M	E-mail Address	Contractor provides e-mail address of Government employee(s) and/or other person(s) to be notified about submitted ISR NOTE: Notification will be sent to listed parties advising them that an ISR was submitted in eSRS	NOTE: • Not a mandatory field • Does not mean those notified have responsibility to review the report • Should not be rejected if contracting official's e-mail address is not included in the report

GUIDANCE FOR REVIEWING SUBCONTRACT REPORTS (SSR)

REVIEWING SSR FOR INDIVIDUAL SUBCONTRACTING PLAN

Reviewing SSRs for Individual Subcontracting Plan

➢ Only the SSR Coordinator has responsibility to acknowledge receipt of or reject the SSR

Reviewing SSRs for Individual Subcontracting Plan

➢ Dollars represent all subcontracting performed in the United States under DoD prime contracts and subcontracts, regardless of $ value

➢ Can be submitted on corporate, company or subdivision basis (i.e. ultimate/parent DUNS)

➢ Cannot show negative $

Reviewing SSRs for Individual Subcontracting Plan

➢ When rejecting an SSR, always provide explanation and clear guidance so contractor knows what to do

➢ Contractor can make changes or corrections to previously submitted reports when reviewer either "Reopens" or "Rejects" the report

Reviewing SSRs for Individual Subcontracting Plan

➢ The following slides include a "step-by-step" review of the SSR

➢ The sections refer to and correspond with the sections of the SSR

➢ The data contained in each section is described

➢ Comments provide guidance for the person reviewing the SSR

➢ "NAR" means No Action Required

Item	Section	Description	Comment
A	Type of Plan	Contractor selects "Individual Plan" as the type plan that requires him to submit this SSR	NAR
B	DUNS #	Contractor inputs DUNS #, system autofills contractor's physical and mailing addresses	NAR NOTE: DUNS # may not match any DUNS #s on contracts
C	Date Submitted	Contractor selects date from calendar	NAR

Item	Section	Description	Comment
D	Contact Information	System automatically populates based on registration information	NAR
E	Reporting Period	Contractor selects "Oct 1 – Sep 30" and the "Year"	NAR

Item	Section	Description	Comment
F	Agency to Which the Report Is Being Submitted	When submitting consolidated DoD SSR, contractors select "Dept of Defense (9700) as agency to which you are submitting this report"	NOTE: • Contractors are required to submit one SSR per Federal agency as a result of Class Deviation 2013-O0014, dated September 9, 2013 • SSR Coordinator is responsible for acknowledging receipt of or rejecting DoD SSR If incorrect: REJECT SSR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
G	Report Submitted As	Contractor selects: "Prime Contractor" "Subcontractor" or "Both"	NAR
H	Contractor's Major Products or Service Lines	This is a text field; the contractor must provide at least one major product/service and associated NAICS Code	NAR

Item	Section	Description	Comment
I	Cumulative Fiscal Year Subcontract Awards	**Actual Cumulative** • Dollars input by contractor • System calculates percentages based on total dollars [Line Item 1(c)] • System validates that the dollars for any socioeconomic category cannot be greater than the dollars for small business [Line Item 1(a)]	NOTE: Contractor may NOT input a negative number on the SSR

Item	Section	Description	Comment
J	Remarks	For any category with zero dollars, contractor provides explanation, future plan of action, or any comments which would be helpful to the Government official reviewing the report	If comment not provided for each category where zero: ✋ REJECT SSR; provide explanation so that contractor knows what to do NOTE: There are no goals for large business, ANC, or Indian Tribes
K	Contractor's Official Who Administers Subcontract Program	Contractor provides name, title, and phone number of individual who administers company's Small Business Subcontracting Program (most likely the company's SBLO)	If contractor does not provide: ✋ REJECT SSR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
L	Certification	Testament that data in report is accurate; dollars and percentages reported do not include lower-tier subcontracts (except as set forth for ANC and Indian Tribes)	If contractor does not certify: ✋ REJECT SSR; provide explanation so that contractor knows what to do
M	Chief Executive Officer (CEO)	Full name and title of CEO or most senior executive of company submitting this report; no delegation of authority is accepted	NAR, unless you have information indicating otherwise
N	CEO Approval	Self-certifies that individual listed will sign and keep printed copy of report on file (selects "Yes" or "No")	If CEO does not certify: REJECT SSR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
O	E-mail address of Government Employee(s) and/or Other Person(s) to be Notified That You Have Submitted this Report	Contractor provides e-mail address of parties to be notified that SSR has been submitted	• Not a mandatory field; does not mean those notified have responsibility to review the report • Should not be rejected if e-mail addresses are not included in the report

REVIEWING SSR FOR COMMERCIAL SUBCONTRACTING PLAN

Reviewing SSRs for Commercial Subcontracting Plan

- ➢ "Total Dollars" represent all subcontracting performed in the US for entire product line or service for both Federal Government **and** non-Federal Government contracts as negotiated in the subcontract plan

- ➢ Cannot show negative $

Reviewing SSRs for Commercial Subcontracting Plan

➢ Contractor must have a Government approved Commercial Subcontract Plan and at least one prime contract in effect during reporting period

➢ Companies who indicate they are "Subcontractors Only" cannot have a Government approved Commercial Subcontract Plan (need one prime contract)

Reviewing SSRs for Commercial Subcontracting Plan

➢ If contractor has subcontracting with multiple Government agencies, the contractor must

- Identify Federal agencies and indicate % of total dollars attributable to each

- Identify the Federal agency's contracting organization which approved the Commercial Subcontract Plan

- NOTE: DCMA does not approve Commercial Subcontract Plans

Reviewing SSRs for Commercial Subcontracting Plan

➢ Contracting official who approved Commercial Plan is responsible for approving SSR

➢ When rejecting a previously accepted SSR, consider informing the person who accepted the report that you are rejecting the report and your reason (to ensure reporting accuracy across DoD)

Reviewing SSRs for Commercial Subcontracting Plan

➢ When rejecting an SSR, always provide explanation and clear guidance so contractor knows what to do

➢ Contractor can make changes or corrections to previously submitted reports when reviewer either "Reopens" or "Rejects" the report

Reviewing SSRs for Commercial Subcontracting Plan

➢ The following slides include a "step by step" review of the SSR

➢ The sections refer to and correspond with the sections of the SSR

➢ The data contained in each section is described

➢ Comments provide guidance for the person reviewing the SSR

➢ "NAR" means No Action Required

Item	Section	Description	Comment
A	Type of Plan	Contractor selects "Commercial Plan" as the type of subcontracting plan which requires him to submit this SSR	NAR
B	DUNS #	Contractor inputs DUNS #, which autofills contractor's physical and mailing addresses	NAR
C	Date Submitted	Contractor selects date from calendar	NAR
D	Contact Info	System automatically populates based on contractor's registration information	NAR

Item	Section	Description	Comment
E	Reporting Period	Contractor selects the reporting period (Oct 1–Sep 30) and selects the year from a drop-down menu	No Action Required

Item	Section	Description	Comment
F	Report Submitted As	Contractor selects "Prime Contractor" "Subcontractor" or "Both"	If the contractor selects "Subcontractor" ✋ REJECT SSR; provide explanation so that contractor knows what to do NOTE: A contractor must have at least one prime contract to have a Commercial Subcontract Plan approved by a Contracting Official; vendors who are only subcontractors do not have a Commercial Subcontract Plan; however, eSRS allows a vendor to indicate he is a subcontractor with a Commercial Plan when submitting the SSR

Item	Section	Description	Comment
G	Major Products or Service Lines	This is a text field; the contractor must provide at least one major product or service and the associated NAICS Code	If contractor indicates construction and related maintenance repair work or uses NAICS Sector 23xxxx ✋ REJECT SSR; provide explanation so contractor knows what to do NOTE: Commercial Plan is not appropriate for construction and maintenance contracts; contractor inadvertently selected "Commercial Plan" (should have selected "Individual Plan"); contractor relates this plan to renovation/maintenance of commercial properties

Item	Section	Description	Comment
H	Cumulative Fiscal Year Subcontract Awards	**Actual Cumulative** • Dollars input by contractor • System calculates percentages based on total dollars [Line Item 1(c)] • System validates that the dollars for any socioeconomic category cannot be greater than the dollars for small business [Line Item 1(a)]	• If total represents subcontracting dollars spent **exclusively (100%)** on Government contracts: ✋ **REJECT** SSR; provide explanation so that contractor knows what to do **NOTE: Dollars represent total amount of subcontract awards spent for the items/services under the approved Commercial Subcontract Plan; subcontracting in the United States for Federal Government and non-Federal Government business, (local, national, and international) rather than solely to Federal**

Item	Section	Description	Comment
I	Specify Agencies to Which You are Submitting this Report and Percentages of Dollars Attributable to each	Percent represents % of subcontracting attributable to each Federal Government agency	If 100% for: • Federal Government as a whole • Any single Government agency • Or any combination thereof ✋REJECT SSR; provide explanation so that contractor knows what to do NOTE: Includes subcontracting in the United States for Federal Government **and** non-Federal Government business, (local, national, and international) rather than solely to Federal Government

Item	Section	Description	Comment
I	Specify Agencies to Which You are Submitting this Report and Percentages of Dollars Attributable to each		NOTE: • Any percentage between 50% and 99% is suspect • Portion of subcontracting $ for the Federal Government should be quite small in comparison to the overall subcontracting $ (on the entire product line or service) and even smaller to a specific Federal agency • However, this is just a good guideline to follow and is not set in stone • Contact and verify with the contractor

Item	Section	Description	Comment
J	Approver	Contractor identifies agency contracting office that approved Commercial Subcontract Plan	If your contracting office is not the approver of the Commercial Subcontract Plan: ✋ REJECT SSR and provide explanation so that contractor knows what to do

Item	Section	Description	Comment
K	Approver		NOTE: - If you are the approver of the Commercial Subcontract Plan, send an e-mail to agencies listed with % attributable, ask for their feedback - The approver of the plan must be registered at same organization or office level identified in SSR in order to "see" the report

Item	Section	Description	Comment
L	Remarks	For any category with zero dollars, contractor provides explanation, future plan of action, or any comments that would be helpful to Government official reviewing the report	If comment not provided for each category where zero: ✋ REJECT SSR; provide explanation so that contractor knows what to do NOTE: There are no goals for large business, ANC, or Indian Tribes
M	Contractor's Official Who Administers Subcontract Program	Contractor provides name, title, and phone number of individual who administers company's Small Business Subcontracting Program (most likely the company's SBLO)	If contractor does not provide: ✋ REJECT SSR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
N	Certification	Testament that data in report is accurate; dollars and percentages reported do not include lower-tier subcontracts (except as set forth for ANC and Indian Tribes)	If contractor does not certify: ✋ REJECT SSR; provide explanation so that contractor knows what to do
O	Chief Executive Officer (CEO)	Full name and title of CEO or most senior executive of company submitting this report; no delegation of authority is accepted	NAR, unless you have information indicating otherwise
P	CEO Approval	Self-certifies that the individual listed will sign and keep printed copy of report on file (selects "Yes" or "No")	If CEO does not certify: REJECT SSR; provide explanation so that contractor knows what to do

Item	Section	Description	Comment
Q	E-mail address of Government Employee(s) and/or Other Person(s) to be Notified That You Have Submitted this Report	Contractor provides e-mail address of parties to be notified that SSR has been submitted	• Not a mandatory field; does not mean those notified have responsibility to review the report • Should not be rejected if e-mail addresses are not included in the report

REVIEWING SSR FOR DoD COMPREHENSIVE SUBCONTRACTING PLAN (CSP)

Reviewing SSRs for DoD CSP

➢ DCMA-CSP Division is responsible for reviewing SSR under CSP

➢ Submitted Semiannually (Apr 30 & Oct 30)

➢ Contains subcontracting dollars under prime contracts and subcontracts under CSP

➢ SSR for CSP is same as SSR for Individual Subcontract Plan, except

- May include subcontracting $ for departments/agencies or DoD programs

- May include uploaded information

Year-end SDB Report

Year-end Supplementary Report for SDB

➢ Year-end SDB report is no longer required (10 USC 2323 has expired and DoD Class Deviation 2013-O0014, dated September 9, 2013)

SDB Participation Report

SDB Participation Report

➤ SDB Participation report is no longer required (10 USC 2323 has expired and DoD Class Deviation 2013-O0014, dated September 9, 2013)

Resources

Resources

- http://www.acq.osd.mil/osbp/
  - "Tips for DoD Contractors Submitting Subcontracting Reports (Sep 2013)"
  - "DoD Subcontracting Program: The Basics (Sep 2013)"
- "DoD Guidance on Business Processes for eSRS and Related Subcontracting Reports"
- Osd.pentagon.ousd-atl.mbx.osbp-Info@mail.mil (questions and comments)
- http://www.acq.osd.mil/dpap/
- https://acc.dau.mil/smallbusiness